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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Title of Invention

AUCTION MANAGEMENT SYSTEM

Named Inventor(s)

Gerald H. ABLAN

Attorney Docket

4A02.1-010

Express Mail Label No.

EL 467009890US

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## APPLICATION ELEMENTS

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

## ACCOMPANYING APPLICATION PARTS

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification, Claims,  
and Abstract Total Pages: 34
3. ☒ Drawings Total Sheets 17
4. Oath or Declaration Total Pages: 1
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17  
completed)  
[Note Box 5 Below]
    - (i) ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior  
application, see 37 CFR 1.63(d)(2)  
and 1.33(b).
5. ☐ Incorporation by Reference  
(usable if Box 4b is checked)  
The entire disclosure of the prior application, from which  
a copy of the oath or declaration is supplied under Box  
4b, is considered as being part of the disclosure of the  
accompanying application and is hereby incorporated  
by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence  
Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above  
copies

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignee)
  - ☐ Power of Attorney by assignee
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS) PTO-  
1449
  - ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☒ Small Entity Statement(s)
  - ☐ Statement filed in prior application  
Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Other: \_\_\_\_\_

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:  
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

## 18. CORRESPONDENCE ADDRESS:

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By: Michael J. Mehrman, Reg. No. 40,086  
Date: 8/23/00  
Telephone: 770 984 2300  
Facsimile: 770 984 0098

**FEE TRANSMITTAL**

Attorney Docket No. 4A02.1-010

This sheet accompanies a patent application transmittal for the following application:

Inventor(s): **Gerald H. ABLAN**

Filing Date:

Title: **AUCTION MANAGEMENT SYSTEM**

The filing fee is calculated as shown below:

**1. FILING FEE:**

| SMALL ENTITY   |       |          | LARGE ENTITY |          |
|--|-------|----------|--------------|----------|
| FOR:   | FEE   | FEE PAID | FEE          | FEE PAID |
| <input checked="" type="checkbox"/> UTILITY FILING FEE | \$345 | \$345    | \$690        |          |
| <input type="checkbox"/> DESIGN FILING FEE             | \$155 |          | \$310        |          |
| <input type="checkbox"/> PLANT FILING FEE              | \$240 |          | \$480        |          |
| <input type="checkbox"/> REISSUE FILING FEE            | \$345 |          | \$690        |          |
| <input type="checkbox"/> PROVISIONAL FILING FEE        | \$75  |          | \$150        |          |
| SUBTOTAL (1)   |       | \$345    |              | \$xxx    |

**2. CLAIMS:**

| SMALL ENTITY  |           |           |        |      | LARGE ENTITY |       |
|---|-----------|-----------|--------|------|--------------|-------|
| FOR:  | NO. FILED | NO. EXTRA | RATE   | FEE  | RATE         | FEE   |
| TOTAL CLAIMS  | 26 - 20 = | 6         | x 9 =  | 54   | x 18 =       |       |
| INDEP. CLAIMS   | 3 - 3 =   | 0         | x 39 = | 0    | x 78 =       |       |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED |           |           | +130 = |      | +260 =       |       |
| SUBTOTAL (2)  |           |           |        | \$54 |              | \$xxx |

**3. ADDITIONAL FEES:**

| SMALL ENTITY   |       |          | LARGE ENTITY |          |
|--|-------|----------|--------------|----------|
| FOR:   | FEE   | FEE PAID | FEE          | FEE PAID |
| <input type="checkbox"/> LATE FILING, FEE OR OATH                        | \$65  |          | \$130        |          |
| <input type="checkbox"/> NON-ENGLISH SPECIFICATION                       | \$130 |          | \$130        |          |
| <input checked="" type="checkbox"/> OTHER (Fee For Recording Assignment) |       | 40       |              |          |
| SUBTOTAL (3)   |       | \$40     |              | \$xxx    |

**TOTAL FILING FEES: \$439**A check is enclosed for the total amount: **\$439**☐ Charge any additional fees required under 37 C.F.R. 1.16 or 1.17 to Deposit Account 10-1215.

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By: \_\_\_\_\_

Michael J. Mehman, Attorney for Applicant  
Reg. No. 40,086

Date: \_\_\_\_\_

8/23/00

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08/23/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application or Patent of: **Gerald H. ABLAN** )  
Application or Patent No.: **To Be Assigned** ) Attorney Docket No. **4A02.1-010**  
Filed or Issued: **Concurrently Herewith** )  
For: **Auction Management System** )

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9 (f) AND 1.27 (c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- ( ) the owner of the small business concern identified below:  
(X) an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: **AUCTIONWORKS.COM, INC.**

ADDRESS OF CONCERN: **1776 PEACHTREE STREET,  
SUITE 600 NORTH  
Atlanta, Georgia 30309**

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41 (a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal years, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above, with regard to the invention titled "**AUCTION MANAGEMENT SYSTEM**" described in

- (X) the specification filed herewith  
( ) Application No. \_\_\_\_\_, filed \_\_\_\_\_  
( ) patent No. \_\_\_\_\_, issued \_\_\_\_\_

The rights held by the above identified small business concern are exclusive.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: **Gerald H. ABLAN**

TITLE OF PERSON SIGNING: **Chief Technology Officer**

DATE 8/22, 00

SIGNATURE

